

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility ApplicationsPATENT  
APPLICATIONCOMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of

Attn: Application Division

Inventor(s): OHMI et al.

Appln. No.: 09 | 866,576  
Series Code ↑ | Serial No. ↑Atty.Dkt. P 281355 | EL01019CDC  
M# | Client Ref

Filed: May 29, 2001

Title: SEMICONDUCTOR DEVICE FORMED ON (111) SURFACE OF Si CRYSTAL AND FABRICATION  
PROCESS THEREOFHon. Commisioner of Patents  
Washington, DC 20231

Date: September 21, 2001

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☒ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☒ Abstract
- b. # 62 pages of Specification (only spec. & claims)
- c. ☒ Drawing(s) 17  
No of Sheets  
☒ Fig(s). 1-17
4. ☒ Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

| Application No. | Filing Date | Application No. | Filing Date |
|-----------------|-------------|-----------------|-------------|
| (1)             |             | (2)             |             |
| (3)             |             | (4)             |             |
| (5)             |             | (6)             |             |

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in Japan

| Application No. | Filing Date       | Application No. | Filing Date |
|-----------------|-------------------|-----------------|-------------|
| (1) 11-376170   | November 30, 1999 | (2)             |             |
| (3)             |                   | (4)             |             |
| (5)             |                   | (6)             |             |

Completion Under Rule 53(f)

9. \_\_\_\_\_ (No.) Certified copy (copies): \_\_\_\_\_ ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☒ Attached: Preliminary Amendment
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

|   |    |            |    | Large/Small Entity |                | Fee Code   |
|---|----|------------|----|--------------------|----------------|------------|
| 13. Basic Filing Fee . . . . . Design Application   |    |            |    | \$320/\$160        |                | 106/26     |
| Not Design Application  |    |            |    | \$710/\$355        | +710           | 101/201    |
| 14. Total Effective Claims  | 39 | minus 20 = | 19 | x \$18/\$9         | +342           | 103/203    |
| 15. Independent Claims  | 17 | minus 3 =  | 14 | x \$80/\$40        | +1120          | 102/202    |
| 16. If <u>any proper</u> multiple dependent claim (ignore improper) is present,<br>(Leave this line <u>blank</u> if this is a <u>reissue</u> application) |    |            |    | \$270/\$135        | +0             | 104/204    |
| 17. Surcharge for filing Declaration/filing fee late  |    |            |    | \$130/\$65         | +130           | 105/205    |
| 18. FILING FEE ENCLOSED =   |    |            |    | \$2302             |                |            |
| 19. <u>Original due date:</u> September 23, 2001  |    |            |    |                    |                |            |
| 20. <b>Petition is hereby made</b> to extend the <u>original due date</u> to  |    |            |    | (1 mo)             | \$110/\$55 =   | +0 115/215 |
| cover the date this response is filed for which the requisite fee   |    |            |    | (2mos)             | \$390/\$195 =  | 116/216    |
| is attached   |    |            |    | (3mos)             | \$890/\$445 =  | 117/217    |
|   |    |            |    | (4mos)             | \$1390/\$695 = | 118/218    |
| 21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .  |    |            |    | \$130              | +130           | 139        |
| 22. If "assignment" box 5 is X'd, add recording fee. . . . .  |    |            |    | \$40               | +40            | 581        |
| 23. Petition Fee for  |    |            |    | \$130              | +0             |            |
| 24. TOTAL FEE ENCLOSED =  |    |            |    | \$2472             |                |            |

Our Deposit Account No. 03-3975

Our Order No. 40258

281355

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
Intellectual Property Group

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Atty/Sec: RP/smm

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**

**DATED** this 9th day of August, 2001

Arthur J. Sch

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION

OHMI et al.

Appln. No.: 09/866,576

Filed: May 29, 2001

Title: SEMICONDUCTOR DEVICE FORMED ON (111) SURFACE OF A Si  
CRYSTAL AND FABRICATION PROCESS THEREOF

Confirmation No.: 4482

Group Art Unit: NOT ASSIGNED

Examiner: NOT ASSIGNED



September 21, 2001

\* \* \* \* \*

SUBMISSION OF FORMAL DRAWINGS

Hon. Commissioner of Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts dated July 23, 2001, Applicants hereby  
submit the attached formal drawings.

Respectfully submitted,

PILLSBURY WINTHROP LLP

By: 

Dale S. Lazar

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Enclosures: Figures 1-17



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/866,576         | 05/29/2001          | Tadahiro Ohmi         | P 281355               |

00909  
PILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102



CONFIRMATION NO. 4482

## FORMALITIES LETTER



\*OC000000006332212\*

Date Mailed: 07/23/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

09/24/2001 BSAYASI1 00000044 09866576

FILED UNDER 37 CFR 1.53(b)

|           |            |
|-----------|------------|
| 01 FC:101 | 710.00 OP  |
| 02 FC:102 | 1120.00 OP |
| 03 FC:103 | 342.00 OP  |
| 04 FC:105 | 130.00 OP  |
| 05 FC:139 | 130.00 OP  |

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 970.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom

\_\_\_\_\_

H-T

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

[illegible]